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Attorney's Docket No.: 42P10601

Patent

In re the Application of: Nikonov et al.

(inventor(s))

Application No.: 09/982,227

Filed: October 17, 2001

For: AN INTEGRATED OPTICAL CIRCUIT HAVING AN INTEGRATED ARRAYED WAVEGUIDE GRATING (AWG) AND OPTICAL AMPLIFIER(S)

(title)

Mail Stop Amendment  
COMMISSIONER FOR PATENTS  
P.O. Box 1450  
Alexandria, Virginia 22313-1450

SIR: Transmitted herewith is an Amendment and Response for the above-referenced application.

Applicant claims small entity status. See 37 CFR 1.27.

XX No additional fees are required.

The fee has been calculated as shown below:

	(Col. 1)		(Col. 2)	(Col. 3)
	Claims Remaining After Amd.		Highest No. Previously Paid For	Present Extra
Total Claims	* 14	Minus	** 30	0
Indep. Claims	* 2	Minus	*** 7	0
<input type="checkbox"/>	First Presentation of Multiple Dependent Claim(s)			

\* If the entry in Col. 1 is less than the entry in Col. 2, write "0" in Col. 3.

\*\* If the "Highest No. Previously Paid For" IN THIS SPACE is less than 20, write "20" in this space.

\*\*\* If the "Highest No. Previously Paid For" IN THIS SPACE is less than 3, write "3" in this space. The "Highest No. Previously Paid For" (Total or Independent) is the highest number found from the equivalent box in Col. 1 of a prior amendment or the number of claims originally filed.

SMALL ENTITY	
Rate	Additional Fee
X25	\$
X100	\$
+180	\$
Total Add. Fee	\$

OTHER THAN A SMALL ENTITY	
Rate	Additional Fee
X50	\$ 0
X200	\$ 0
+360	\$
Total Add. Fee	\$ 0

CERTIFICATE OF MAILING BY FIRST CLASS MAIL (if applicable)

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail with sufficient postage in an envelope addressed to Mail Stop Amendment, Commissioner for Patents, P.O. Box 1450, Alexandria, Virginia 22313-1450

on August 8, 2005  
Date of Deposit

Adrian Villarreal

Name of Person Mailing Correspondence

[Signature]  
Signature

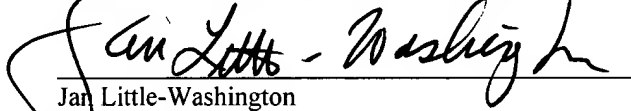
August 8, 2005  
Date

- ☐ A check in the amount of \$\_\_\_\_\_ is attached for presentation of additional claim(s).  
☐ Applicant(s) hereby Petition(s) for an Extension of Time of \_\_\_ month(s) pursuant to 37 C.F.R. § 1.136(a).  
☐ A check for \$\_\_\_ is attached for processing fees under 37 C.F.R. § 1.17.  
☐ Please charge my Deposit Account No. 02-2666 the amount of \$\_\_\_\_\_.  
☐ A duplicate copy of this sheet is enclosed.  
☒ The Under Secretary of Commerce for Intellectual Property and Director of the United States Patent and Trademark Office is hereby authorized to charge payment of the following fees associated with this communication or credit any overpayment to Deposit Account No. 02-2666 (a duplicate copy of this sheet is enclosed):  
    ☒ Any additional filing fees required under 37 C.F.R. § 1.16 for presentation of extra claims.  
    ☒ Any extension or petition fees under 37 C.F.R. § 1.17.

Date: \_\_\_\_\_

8/8/2005

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Patent

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: )  
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Nikonov et al. ) Examiner: Wong, Eric K.  
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Serial No. 09/982,227 ) Art Unit: 2883  
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WAVEGUIDE GRATING (AWG) AND )  
OPTICAL AMPLIFIER(S) )  
\_\_\_\_\_ )

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Commissioner for Patents  
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**RESPONSE AND AMENDMENT UNDER 37 C.F.R. §§ 1.111 AND 1.121**

Sir or Madam:

In response to the Office Action mailed May 6, 2005, Applicants submit the following Amendment and Remarks. Claim Amendments begin on page 2 of this paper. The Remarks begin on page 5 of this paper. Applicants respectfully request that the Examiner reconsider the application

It is not believed that extensions of time are required beyond those that may otherwise be provided for in documents accompanying this paper. However, if additional extensions of time are necessary to prevent abandonment of this application, then such extensions of time are hereby petitioned under 37 C.F.R. §1.136(a). Any fees required therefore are hereby authorized to be charged to Deposit Account No. 02-2666. Please credit any overpayment to the same deposit account.

Kindly enter the following Amendments and consider the following Remarks.